

Please type a plus sign (+) inside this box → ☐

08-13-01

PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	103.1019.10
First Inventor	Hitz
Title	File Access Control in a Multi-Protocol File Server
Express Mail Label No.	EL734815865US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

- |   |   |
|---|---|
| <p>1. <input type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17)<br/>(Submit an original and a duplicate for fee processing)</p> <p>2. <input type="checkbox"/> Applicant claims small entity status.<br/>See 377 CFR 1.27.</p> <p>3. <input checked="" type="checkbox"/> Specification<br/>(preferred arrangement set forth below) [Total Pages <b>39</b> ]</p> <ul style="list-style-type: none"><li>-Descriptive title of the Invention</li><li>-Cross Reference to Related Applications</li><li>-Statement Regarding Fed sponsored R &amp; D</li><li>-Reference to sequence listing, a table, or a computer program listing appendix</li><li>-Background of the Invention</li><li>-Brief Summary of the Invention</li><li>-Brief Description of the Drawings (if filed)</li><li>-Detailed Description</li><li>-Claim(s)</li><li>-Abstract of the Disclosure</li></ul> <p>4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets <b>1</b> ]</p> <p>5. Oath or Declaration [Total Pages <b>8</b> ]</p> <ul style="list-style-type: none"><li>a. <input type="checkbox"/> Newly executed (original or copy)</li><li>b. <input checked="" type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d))<br/>(for continuation/divisional with Box 18 completed)</li><li>i. <input type="checkbox"/> DELETION OF INVENTOR(S)<br/>signed statement attached deleting inventor(s)<br/>named in the prior application, see 37 CFR 1.63(d)(2)<br/>and 1.33(b).</li></ul> <p>6. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</p> | <p>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)</p> <p>8. Nucleotide and/or Amino Acid Sequence Submission<br/>(if applicable, all necessary)</p> <ul style="list-style-type: none"><li>a. <input type="checkbox"/> Computer Readable Form (CRF)</li><li>b. Specification Sequence Listing on:<ul style="list-style-type: none"><li>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</li><li>ii. <input type="checkbox"/> paper</li></ul></li><li>c. <input type="checkbox"/> Statements verifying identity of above copies</li></ul> |
|---|---|

## ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) statement (when there is an assignee) ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(I). Applicant must attach form Pto/SB/35 or its equivalent.
17. ☒ Other Technical Appendix; Certificate of Mailing

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No: 09/035,234

Prior application information: Examiner Nadeem, Iqbal

Group/Art Unit: 2184

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 18. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label



or ☐ Correspondence address below

Name

PATENT TRADEMARK OFFICE

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/type)

Steven A. Swernofsky

Registration No. (Attorney/Agent)

33,040

Signature

*SA Swernofsky*

Date

8/10/01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.



22883

PATENT TRADEMARK OFFICE

Attorney Docket 103.1019.10

**Certificate of Mailing (37 C.F.R. § 1.10)**

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Services on the date shown below as "Express Mail" in an envelope addressed to:

*Box Patent Application*  
*Assistant Commissioner for Patents*  
*Washington, D.C. 20231*

Express Mailing Label No.: EL734815865USDate of Deposit: 8-10-01Signature: *Arlette Malhas*  
Arlette Malhas, Paralegal

Printed Name: \_\_\_\_\_

**This application includes the following items:**

Utility Patent Application Transmittal SB/05

- 2 Page(s) Application Data Sheet
- 13 Preliminary Amendment
- 2 Page(s) Application Data Sheet
- 32 Page(s) of Specification
- 6 Page(s) of Claims
- 1 Page(s) of Abstract
- 1 Sheet(s) of Drawings
- 8 Page(s) Declaration(s)
- 1 Page(s) Power of Attorney
- 6 Page(s) Technical Appendix + Cover Page
- 11 Page(s) Assignment(s) with Recordation Cover Sheet

Certificate of Mailing

Return Postcard